

2016

Hawaiian Home Lands Trust Grant

## **Agriculture Peer-to-Peer Grant Application**

Request for Proposals

Grant Deadline: 4:00 PM (HST), Monday, February 6, 2017

THIS IS NOT A POSTMARK DATE

Mailed applications must be received before or on the deadline and sent to:

Department of Hawaiian Home Lands  
Agriculture Peer-to-Peer Grant (PLO)  
PO Box 1879  
Honolulu HI 96805

Hand delivered applications (includes private courier service such as Federal Express, United Parcel Service, etc.) must be received before or on the deadline at:

Department of Hawaiian Home Lands  
Agriculture Peer-to-Peer Grant (PLO)  
91-5420 Kapolei Parkway  
Kapolei HI 96707

Agriculture Peer-to-Peer Grant applications will not be accepted at any DHHL District Office nor by fax or email.

## **Overview**

The Department of Hawaiian Home Lands (DHHL) announces the availability of \$200,000 for competitive grant funds for the Agriculture Peer-to-Peer grant program. The primary purpose of this pilot grant program is for DHHL beneficiaries to assist agriculture lessees and beneficiaries of the Hawaiian Homes Commission Act (HHCA) of 1920, as amended, to use their homestead lot for commercial and/or subsistence agriculture production. Non-agriculture lessees and other beneficiaries may also be served.

Beneficiary organizations are eligible to apply. Partnerships and teams consisting of beneficiaries and non-beneficiaries are encouraged to apply, provided that the project is beneficiary-driven and that a majority of partners are beneficiaries. Maximum grant award per organization is \$100,000.

## **Background**

**Native Hawaiian Development Program Plan (NHDPP)** Every two years and pursuant to Hawaii Administrative Rules Chapter 6.1, DHHL prepares the NHDPP for review and approval by the Hawaiian Homes Commission (HHC). The NHDPP is also made available for public comment and beneficiary consultation. The current interim NHDPP was approved by the HHC in August 2016 for the period July 1, 2016 to June 30, 2017. The purpose of the NHDPP is to improve the general welfare and conditions of native Hawaiians through education, economic, political, social, cultural, and other programs. The NHDPP is important because it enables DHHL to implement programs and services covering Individual Development and Community Development for the beneficiaries served by the Hawaiian Home Lands Trust.

**Hawaiian Home Land Trust Grants** As part of the NHDPP, Hawaiian Home Land Trust Grants are made available to beneficiary organizations. Such organizations are defined as those that (1) are formed by a beneficiary initiative whose goals, mission and purpose are targeted at beneficiaries of the Hawaiian Homes Commission Act (HHCA) of 1920, as amended; and (2) are owned and controlled by the HHCA beneficiaries that they represent. With this grant program, DHHL is implementing the Individual Development component in the NHDPP and under the Homestead Opportunities Assistance Program or "HOAP" initiative. This grant is intended to help and support nonprofits, whose primary mission is to serve HHCA beneficiaries, to carry out peer-to-peer learning programs targeted for agriculture lessees and beneficiaries to use their homestead lot for commercial and/or subsistence agriculture production. Non-agriculture lessees and other beneficiaries may also be served as part of this peer-to-peer learning program.

HHC has approved \$200,000 for this Agriculture Peer-to-Peer grant program. Grant funds for this pilot grant program are provided from the Native Hawaiian Rehabilitation Fund (NHRF).

## **Eligibility information**

Eligible applicants are:

- Homestead community associations and beneficiary organizations, whose primary mission is to serve HHCA beneficiaries
- An individual beneficiary(ies) with a nonprofit partner or fiscal sponsor
- Nonprofits organized as a federal 501(c)(3) tax-exempt nonprofit corporation
- Nonprofits using a fiscal sponsor with federal 501(c)(3) tax exemption
- Nonprofits organized as a domestic nonprofit corporation in the State of Hawaii and without federal 501(c)(3) tax exemption  
(Note: Nonprofits without state and/or federal tax exemptions are responsible for applicable state and federal taxes should a grant be awarded.)
- Other nonprofits with federal 501(c)(3) status, with a land disposition on Hawaiian Home Lands, and engaged in agriculture educational activities

Other eligibility criteria for all applicants:

- Must be registered with the State of Hawaii Department of Commerce and Consumer Affairs and in good standing
- Applicants, including any nonprofit partners or fiscal sponsors, with delinquent DHHL grant deliverables, reports, invoices, etc. are not eligible. If such matters are resolved before the grant application deadline, a grant application may be submitted.
- All applicants, including fiscal sponsors, must provide proof of compliance as required by Hawaii Revised Statutes (HRS) § 103D-310. The required certificates are as follows and must be included with the applicant's grant application.
  - Original Tax Clearance Certificate issued by the State of Hawaii Department of Taxation (certificate must be dated less than six (6) months from grant application deadline)
  - Certificate of Compliance issued by the State of Hawaii Department of Labor and Industrial Relations (DLIR)
  - Certificate of Good Standing issued by the State of Hawaii Department of Commerce and Consumer Affairs

In lieu of the items above, the applicant may submit a consolidated Certificate of Vendor Compliance (CVC) as issued by the State Procurement Office (SPO) via the on-line system, Hawaii Compliance Express (HCE). The CVC must be dated less than six (6) months from grant application deadline. Details regarding this on-line system may be viewed at <http://vendors.ehawaii.gov/hce/>. Applicants are encouraged to register with HCE as soon as possible. It may take up to 10 business days for a newly registered entity to obtain a compliant certificate.

Applicants and their partners/fiscal sponsors are advised to maintain compliance status in the HCE on-line system at all times during which applicant and partner/fiscal sponsor have an active DHHL grant award or a grant application under consideration by DHHL. Note that a compliant CVC is required at time of grant application, grant agreement execution, and at time of final grant payment.

## **Funding Priorities**

Grant fund uses must be consistent with the purpose of the Agriculture Peer-to-Peer learning concept and the NHDPP HOAP initiative. Examples of projects that might be funded by this grant include, but are not limited to, the following.

- Provide training and technical support to agriculture lessees and other beneficiaries to use their homestead lot for commercial and/or subsistence agriculture production
- Develop the capacity and capability of agriculture lessees and other beneficiaries for them to provide the training and technical support to beneficiaries in commercial and/or subsistence agriculture production (Train-the-Trainer concept)
- Assist agriculture lessees in completing agriculture lease requirements such as farm plans and conservation planning
- Purchase or lease equipment and supplies for agriculture lessees and other beneficiaries for purposes of agriculture production
- Develop the capacity of agriculture lessees to increase their leveraging ability, build social capital, and increase access to funding, expertise and other resources
- Partnerships with existing agriculture educational, certification training or other programs that will result in an increase in lessee capacity and ability to undertake commercial and/or subsistence agriculture production

## **Deadlines, Processing Time, and Project Timeframes**

<b>Scheduled Date</b>	<b>Activity</b>
October – November	Grant Orientation Meetings (statewide)
Friday, December 16, 2016	OPTIONAL: Submit first draft proposal for a one-time review by DHHL
Friday, January 6, 2017	DHHL comments back to applicant
<b>Monday, February 6, 2017 by 4:00 PM HST</b>	<b>DEADLINE for Grant Application</b> Must be received at DHHL Kapolei before or on 02/06/17
February 2017	DHHL review of grant applications
March 2017	DHHL Recommendations submitted to the Hawaiian Homes Commission regularly scheduled meeting
April – May 2017	Notifications to all applicants. Contracting process with awardees. Scope, budget, timeline negotiations/ adjustments, if necessary
June 1, 2017	Estimated Grant start date

## **Dates subject to change**

## **Decision-making Process**

Grant proposals are reviewed by a DHHL Committee and may be comprised of DHHL staff and individuals from across the state. The DHHL Committee reviews the proposed project goals, work plan scope, budget and timeline, and potential benefit to HHCA agriculture lessees and

other beneficiaries. DHHL then makes recommendations for funding to the HHC for final approval.

### **Submitting an Application**

Applicants are advised to read all the material contained in this application kit carefully. It is important that your proposal address each section of the application and that all required forms are completed, signed, and included in the proposal. Applications with any missing items will be returned without being reviewed. A checklist is provided to help you organize your proposal. See pages 23-24.

Only the original proposal in paper hard copy needs to be submitted. Proposals are not accepted by fax or by email nor accepted at any DHHL District Office. It is recommended that you keep a copy of your entire proposal. Proposals must be received at DHHL Kapolei before or on the deadline to the addresses given on the top page of this application packet. Late proposals will be returned without being reviewed.

The DHHL Grants Specialist is available to discuss your proposal concept and a one-time review of proposal drafts submitted before or on Friday, December 16, 2016 at 4:00 PM. The DHHL Grants Specialist is also available to respond to questions about the application process and explain application questions at any time. Contact information: (808) 620-9461 or via email at [Gigi.O.Cairel@hawaii.gov](mailto:Gigi.O.Cairel@hawaii.gov).

### **Grant Application Instructions**

The DHHL grant application consists of four (4) parts:

- (1) Application cover sheet
- (2) Proposal request including scope, budget and timeline
- (3) Required forms and attachments
- (4) Other materials

This application packet contains all of the instructions and required forms for a complete grant application. All grant applications must be submitted on the forms provided in this packet. Separate sheets may be attached as long as they follow the same format as provided in this application packet. Use the grant application checklists on pages 23-24 to organize your application submittal. Incomplete applications will automatically be returned.

**(1) The Application Cover Sheet:** On the application cover sheet, provide basic contact information for your organization (partner or fiscal sponsor, if applicable), the amount of DHHL grant funds you are requesting, and any match funds and/or in-kind donations. The application cover sheet must be signed by a board-authorized person to act on behalf of the applicant organization. For most organizations, this is the board president or executive director. If using a partner or fiscal sponsor, a board-authorized person to act on behalf of the partner/fiscal sponsor must also sign the application cover sheet and complete the Partner/Fiscal Sponsor contact sheet.

**(2) The Proposal Request:** The proposal request section is the main part of your proposal. See pages 12-14. This is the section that DHHL will rely on to understand your proposed project and to decide whether to recommend funding. This section should be detailed and easy to understand. The application forms explain what your proposal should cover.

A budget information sheet is included in this packet. See pages 15-16. You must use this form to present your budget request, include both a Project Expense Budget and Project Income Budget. This form lists the total amount of all your project expenses (i.e. personnel, travel, equipment and supplies, contract services, etc.). And, this form lists the total amount of all your anticipated project income (match funds and in-kind services, if any). In addition, you must provide a detailed narrative explanation and calculations to best describe how you arrived at each expense item.

**Match funds and In-Kind Donations (Optional).** For this grant program, matching funds and in-kind services are not required, but are encouraged. Additional points will be given to applicants with match funds and in-kind donations. If you plan to provide match funds and/or in-kind donations, they must be available within the same time period as the proposed project.

Acceptable documentation include, but are not limited to, the following:

- Copy of a bank statement from the applicant and/or donor
- Copy of the confirmed funding commitment such as award letter, fully executed grant agreement, or copy of check from the funding source
- Copy of signed letter on donor's letterhead verifying the type of donation, dollar value and stating the donation is for the purpose of the proposed project

**(3) Required Forms and Attachments:** This packet includes three (3) assurance forms that must be signed by the applicant organization (partner or fiscal sponsor, if applicable) and must be included in your grant application submittal – (1) Assurance of Service to native Hawaiians; (2) Assurance of Acknowledgement of Support; and (3) Assurance of Dedicated Matching Funds and In-kind Services (optional). In addition to these forms, you must also attach copies of the following items:

- Partner or Fiscal sponsor agreement, if applicable
- Articles of Incorporation with the stamp showing they were filed with the State Department of Commerce and Consumer Affairs
- Bylaws signed by the board secretary and indicating the date of the board meeting when the bylaws were adopted
- Certification statement signed by an authorized person stating that your organization (partner or fiscal sponsor) has written policies and procedures pertaining to conflict of interest and nepotism. (Note: DHHL recognizes that board members of beneficiary organizations – due to their business affiliations, ties within the homestead community, and familial relations – are often called upon to take part in the implementation of community projects funded by DHHL grants. Applicants, their partners, and fiscal sponsors are advised to have written policies and procedures regarding procurement, conflict of interest and nepotism; and to keep written records that organization policies and procedures have been followed.) See page 22.

- If applicable, US Internal Revenue Service (IRS) 501(c)(3) determination letter; or IRS determination letter of your partner or fiscal sponsor.
- List of current board members including board position or title, term of office, current occupation, and affiliations. If using a nonprofit partner or fiscal sponsor, also include their board list.
- Board resolution approving the submittal of this proposal and identifying the person(s) the board has authorized to sign documents on behalf of the organization. The board secretary must sign this resolution and provide the date the board adopted the resolution. If using a nonprofit partner or fiscal sponsor, that organization must provide a similar board resolution. In addition, please attach a signed and executed copy of the agreement between the nonprofit partner or fiscal sponsor and the sponsored organization. See pages 17 and 21.
- Most recent financial statement, Treasurer's report, or IRS Form 990.
- Hawaii Compliance Express Certificate of Vendor Compliance or the three (3) individual certificates from the Department of Taxation, Department of Labor and Industrial Relations, and Department of Commerce and Consumer Affairs.

#### **(4) Other materials:**

- Teams & Partnerships Teams and partnerships consisting of individual beneficiaries, beneficiary organizations, other non-beneficiaries, or any combination thereof are encouraged to apply. Please note that an eligible nonprofit corporation must be the lead applicant. A majority of the partners must be beneficiaries or beneficiary organizations. And, the proposed project must be beneficiary-driven. The following are acceptable documentation: board resolutions from each organizational partner; fully executed memorandum of agreement or understanding; signed letter of commitment, etc. Documentation must include description of the partner's role, qualifications, and any prior experience working together. Also provide evidence of each partner's commitment to the proposed project (for example: funds committed, donated time, equipment, supplies, or other resource). DO NOT simply "list" your partners and team members.
- Support letters and other materials You may also include with your application submittal letters of support and any other material (e.g. previous grant reports, workshop evaluation summaries, testimonials, brochures, photos, news articles, etc.) that you think will help the DHHL understand your proposed project. Support letters may come from lessees and other beneficiaries, community organizations, elected officials, government agencies, and any other stakeholders.

#### **Packaging Your Application**

Your proposal package should be printed on 8 1/2 x 11 inch white paper and use 12 point font size. All pages should be numbered, including the attachments. All pages should be printed on one side only. To secure the proposal, please use staples, paper clips or binder clips. Please do not provide any special binding, cover or tab dividers. The sections should be in the order as listed in the application checklists on pages 23-24. Be sure to keep a copy of your entire application submittal for your records, including a copy of all attachments.

## **Submitting Your Application**

You only need to submit one, original copy of your application package. Your application must be received before or on the deadline to the DHHL main office in Kapolei on the island of O'ahu. Applications will not be accepted at any DHHL district office nor by fax or email.

## **Application evaluation criteria**

Applications will be evaluated using the following criteria:

### **Building capacity – 35 points**

Applicant must demonstrate how it will increase beneficiary capacity, capability, knowledge and/or skills through a program of training and technical assistance.

- Describe the nature of the assistance to be provided.
- Describe how the results of the technical assistance will be measured, including how you will capture baseline information prior to the start of your proposed training and technical assistance.

### **Expertise – 20 points**

- Applicant must demonstrate that it has conducted training and technical assistance programs and achieved measureable results.
- Applicant experience in successfully planning and implementing similar work, including demonstration of subject matter expertise and technical assistance skills and methods to transfer knowledge and skills to HHCA beneficiaries.
- If applicable, describe team members and partners and describe experience working together.
- Applicant experience, capability and capacity in grants administration, reporting and compliance.

### **Target population – 15 points**

- Indicate how many beneficiaries will be assisted.
- Applicant must demonstrate knowledge of HHCA agriculture lessees and other beneficiaries including how to effectively work with them.
- Describe experience conducting training and technical assistance for HHCA agriculture lessees, other beneficiaries, and/or similar populations.

### **Soundness of approach – 20 points**

- Is the plan for implementation (methodology) viable?
- Does the proposal have S.M.A.R.T objectives – Specific, Measureable, Achievable, Relevant, Time-bound?
- Do the Results (outputs), Benefits, and Impacts (Outcomes) relate to a clearly defined need, problem, or opportunity? How likely will the proposed strategy/approach result in the outcomes stated in the proposal?

### Sustainability – 10 points

- Did the applicant provide a sustainability plan on how the proposed project will be continued after DHHL funding ends?
- Is there a contingency plan should the project be funded for a partial amount or not funded at all?

### Match funds and/or In-kind donations (optional)

\* Additional points will be given to applications with the following match:

- 5 points – 50% or more of project total
- 3 points – Between 25% and 49% of project total
- 1 point – Between 10% and 24% of project total

- Match may be any combination of cash and/or in-kind donations.
- Match will be re-verified at time of grant award.

- Examples for match calculation:

Total project cost	DHHL Funds	Match	% of Total Project Cost
\$200,000	\$100,000	\$100,000	50% (5 points)
\$120,000	90,000	30,000	25% (3 points)
\$ 10,100	9,090	1,010	10% (1 point)

### Post Award Process

For those organizations that are awarded funding, DHHL prepares a Grant Agreement (GA) in State Contract Form detailing the requirements, terms and conditions of the grant award. Those organizations that are not approved for funding are provided with a written summary of comments from DHHL.



# Department of Hawaiian Home Lands

## Hawaiian Home Lands Trust Grant Agriculture Peer-to-Peer Grant Program

### Application Cover Sheet

*Print or Type*

Name of organization			
Mailing Address			Town Zip
Street Address			Town Zip
Contact Person	Name		Title
Contact information	Telephone	Fax	Email

Please inform DHHL, in writing, within 10 business days should the contact person change.

We are (check only one):

- ☐ A federal tax-exempt 501(c)(3) nonprofit corporation
- ☐ Using a nonprofit partner or fiscal sponsor that is a 501(c)(3) nonprofit corporation
- Name of partner or fiscal sponsor: \_\_\_\_\_
- ☐ A nonprofit corporation registered with the State and not federally tax-exempt

Federal Employer Identification Number (FEIN) \_\_\_\_\_

State of Hawaii General Excise Tax (GET) Number \_\_\_\_\_

Estimated number of beneficiaries to be assisted	
Total Amount of DHHL funds requested	\$
Total funds from other sources (Optional)	+
Value of In-Kind Donations (Optional)	+
TOTAL Project Cost	=

Proposed project period \_\_\_\_\_ to \_\_\_\_\_  
(Note: Project start date should be at least five months from the grant application deadline)

I certify that the governing body of the organization approves this grant application.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name & title

\_\_\_\_\_  
Nonprofit Partner or Fiscal Sponsor Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name & title

## Nonprofit Partner or Fiscal Sponsor Contact Sheet

*Print or Type*

Name of organization			
Mailing Address			<i>Town</i> <i>Zip</i>
Street Address			<i>Town</i> <i>Zip</i>
Contact Person	<i>Name</i>		<i>Title</i>
Contact information	<i>Telephone</i>	<i>Fax</i>	<i>Email</i>

Please inform DHHL, in writing, within 10 business days should the contact person change.

Federal Employer Identification Number (FEIN) \_\_\_\_\_

State of Hawaii General Excise Tax (GET) Number \_\_\_\_\_

# Department of Hawaiian Home Lands

## Hawaiian Home Lands Trust Grant

### Agriculture Peer-to-Peer Grant Request

Write your proposal by responding to the following seven (7) points. Attach additional sheets if needed. Responses may include and are not limited to a narrative, newsletter, annual report, photos, brochures, maps, and drawings.

#### **1. Describe your organization, partners and fiscal sponsor (if any)**

For your organization, please include the following in the description

- Mission, purpose, goals.
- Brief history of the establishment, development, and accomplishments of the organization.
- Brief description of your board, including background, skills, experience they bring to the board and to the proposed project.
- Describe the membership of your organization – who are they? How many members? How do people become members? (if applicable)
- Describe your organization's network and partnerships in the community, which can help address some of the key issues the proposed project intends to address. Include a description of how your organization interacts, coordinates and/or collaborates with them.
- Describe your organization's experience with grants administration.

For each partner, please include the following in the description

- Name and organizational affiliation, if any.
- Mission, purpose, goals.
- Role and commitment to the proposed project.
- Qualifications, experience, expertise the partner brings to the proposed project.

For fiscal sponsor, please include the following in the description

- Describe your organization's experience with fiscal sponsorship and grants administration.
- Mission, purpose, goals.
- Brief history of the establishment, development, and accomplishments of the organization.
- Brief description of your board, including background, skills, experience they bring to the board and to the proposed project.
- Describe your organization's network and partnerships in the community, which help your organization to deliver on its mission. Include a description of how your organization interacts, coordinates and/or collaborates with them.

## **2. Describe the project you are requesting funds for.**

Be specific and detailed and include the following information:

- Purpose and goals of the proposed project.
- Target population, include the proposed number of HHCA agriculture lessees to be served and assisted, including from which homestead(s). If your project will serve other beneficiaries, specify proposed number of beneficiaries.
- Describe your outreach/recruitment plan including:
  - how you will secure commitment from beneficiaries to participate; and
  - a contingency plan in the event that participants drop out of the program.
- Your organization's past experience with this type of project – accomplishments and lessons learned.
- How will you establish a baseline by which you will measure change in the capacity of agriculture lessees and other beneficiaries to use their homestead lot for agriculture production?
- Methods to be used to evaluate the proposed project to demonstrate an increase in knowledge, skills and capacity of agriculture lessees to use their homestead lot for agriculture production.

## **3. Describe how your organization determined that this project was needed.**

If this project is based on a community vision or plan, the results of a survey, or some other type of beneficiary input, describe how you gathered the input and attach a copy of the plan or survey results. Also cite local area plans and other documents including DHHL Island plans and Regional Plans.

## **4. Describe what you expect to achieve with this project and how agriculture lessees and other beneficiaries will benefit from the proposed project.**

Include the following:

- Your evaluation plan to determine the effectiveness of the proposed project. How will you know you achieved your project goal(s)?
- Sustainability plan (i.e., plans to seek or leverage other funding sources or earned income sources)

## **5. Describe how HHCA agriculture lessees and other beneficiaries will be involved in the planning, managing, implementing and evaluation of the proposed project.**

## 6. Provide a detailed work plan for this project.

Your work plan should include (1) a list of all proposed activities, (2) the expected outcome of each activity, (3) who will be responsible for carrying out each activity, and (4) the expected start and end dates for each activity.

The following is a SAMPLE table format for the work plan

Outcome	Activities	Who responsible	Start date	End Date
1. 20 lessees sign up for the program	a. conduct door-to-door outreach b. announcement at association meeting c. mail out flyers	Project manager	Month 1	Month 3
2. at least 15 lessees complete the program	a. conduct 5 workshops b. purchase supplies c. conduct one-on-one assistance to set up farming operation on lot	Project manager	Month 4	Month 9

If you will be using this grant to hire a consultant, describe what they will do and attach their resume or statement of qualifications. (Note: DHHL recognizes that board members of beneficiary organizations – due to their business affiliations, ties within the homestead community, and familial relations – are often called upon to take part in the implementation of community projects funded by DHHL grants. Applicants are advised to have written policies and procedures regarding procurement, conflict of interest and nepotism; and to keep written records that organization policies and procedures have been followed.)

## 7. Provide a detailed budget breakdown using the budget information sheet on pages 15-16.

Include both an Expense Budget and Income Budget using the attached forms on pages 15-16. The totals for each should be the same. Also include a budget narrative to explain each budget expense item and to show the calculations of how you arrived at each budget figure. Explain how you will adjust the budget if not all anticipated funding is received. Match funds and in-kind donations are optional for this pilot grant program. Additional points will be given for match funds and/or in-kind donations.

- If the proposed project is part of a larger project supported by other funding sources, please identify the other funding amounts and sources, provide the total planned budget, and explain the need for DHHL grant funds.

# Department of Hawaiian Home Lands

## Hawaiian Home Lands Trust Grant

### Budget Information

Organization Name: \_\_\_\_\_

#### Instructions:

- 1) Please complete each form for the Project Expense Budget and Project Income Budget. You may attach separate sheets, as long as the same format is used. The totals for the Expense and Income Budgets (in the right bottom corners of the expense and income sections) should be the same.
- 2) This budget information sheet must be included in all grant requests. Please complete the budget information sheet with a total dollar figure. Enter a "0" in the space of any items not applicable to your project.
- 3) Attach separate sheets with a budget justification narrative including details and cost calculations for all budget items.
- 4) "Other Funds" include cash funds from federal, state, private and any other sources that will help pay for this proposed project.
- 5) "In-Kind" include the estimated dollar value of volunteer time and donations such as the use of equipment, supplies, and materials used to carry out this proposed project.

#### Project Expense Budget

DESCRIPTION	DHHL FUNDS REQUESTED	OTHER FUNDS	IN-KIND	TOTAL
<b>PERSONNEL</b>				
Salary				
Fringe				
TOTAL PERSONNEL				
<b>NON-PERSONNEL</b>				
Travel				
Lease/purchase equipment				
Supplies				
Contract Services				
Fiscal sponsor fee, if applicable				
Other (List)				
TOTAL NON-PERSONNEL				
TOTAL EXPENSES				

## Project Income Budget

	Cash	In-Kind	Total	Status* (secured, committed, or pending)
DHHL agriculture peer-to-peer pilot grant				Pending
Applicant organization				
Other (List)				
<b>TOTAL INCOME</b>				

- Applicant will be asked to re-verify match funds and in-kind donations at time of grant award notification.
- Status – Please use the following terms to describe the status of each cash and in-kind donation:
  - Secured - Donation is on hand. Attach the signed and fully executed agreement (copy of check, grant agreement, contract, memorandum, etc.).
  - Committed - Donation is committed but not yet readily available.
  - Pending - Your organization has made a request (verbal, letter, written application or otherwise) and is awaiting a decision from the donor.

**SAMPLE**  
**Fiscal Sponsor Agreement** (if applicable)

**Print on Letterhead**  
(must include mailing address and telephone number)

\_\_\_\_\_ Date

c/o Department of Hawaiian Home Lands  
Agriculture Peer-to-Peer Grant Program (PLO)  
PO Box 1879  
Honolulu HI 96805

RE: \_\_\_\_\_ Name of sponsored nonprofit  
\_\_\_\_\_ Project title

Please be advised that the "Sponsoring Organization" named below, a federal 501(c)(3) tax exempt public charity, has agreed to act as Fiscal Sponsor for the "Sponsored Nonprofit" named above to facilitate that organization's activities and particularly its solicitation of support from the Department of Hawaiian Home Lands (DHHL) Agriculture Peer-to-Peer Grant Program for the project referenced above.

We understand the requirements of a "Fiscal Sponsor" for purposes of applying for a grant from DHHL include:

1. The sponsored organization's project is compatible or consistent with our organization's mission and purpose.
2. We, as fiscal sponsor, have formally adopted the above referenced project. We have:
  - a. Reviewed the proposed project
  - b. Passed a board resolution of the adoption of the project
  - c. Accepted responsibility to document the status and progress of the project
3. We, as fiscal sponsor, are responsible for monitoring and controlling the expenditure of grant funds in keeping with the purpose of the grant.
4. We, as fiscal sponsor, are responsible for complying with the terms of the grant.

Our Board of Directors has formally approved a resolution agreeing to be "Fiscal Sponsor" for the "Sponsored Nonprofit" organization, and has authorized the execution of this letter. A copy of that resolution, certified by our Board Secretary, is attached.

\_\_\_\_\_  
Name of Sponsoring Organization

By:

\_\_\_\_\_  
Signature of "Sponsoring Organization"

\_\_\_\_\_  
Title

cc: Board President of "Sponsored Nonprofit"

## Department of Hawaiian Home Lands

### Hawaiian Home Lands Trust Grant

#### Assurance of Service to native Hawaiians

**Instructions:** Insert organization's name in the blank. Form must be signed by an authorized person of the organization.

Article XII, Section I of the Hawaii State Constitution created the Native Hawaiian Rehabilitation Fund or "NHRF," whose funds are derived from thirty (30) percent of receipts derived from state land used for sugarcane cultivation and water. The State Constitution further states:

"The department shall use this money solely for the rehabilitation of native Hawaiians which shall include, but not be limited to, the educational, economic, political, social and cultural processes by the general welfare and conditions of native Hawaiians are thereby improved and perpetuated."

NHRF is codified in the Hawaiian Homes Commission Act of 1920, as amended, under Section 213.

It is therefore incumbent upon organizations and individuals who receive support from revenues from NHRF through grants from the Department of Hawaiian Home Lands (DHHL) to prove that the beneficiaries of any proposed service, program, or activity are native Hawaiians.

Beneficiaries of funding under an award of NHRF must trace and conclusively prove that they are at least 50% Hawaiian ancestry. DHHL must rely on documented evidence that meets eligibility requirements and reduces the possibility of error. In many cases, submitting birth certificates for the beneficiaries, the beneficiary's parents and grandparents will provide sufficient proof that the beneficiary of the services under an award from DHHL has at least 50% Hawaiian ancestry. The burden of proof rests on the awardee and beneficiary of funding.

This is to certify that, when requested, \_\_\_\_\_ will provide genealogies or other appropriate proof of at least 50% Hawaiian ancestry, for the beneficiaries of any project operating with the support of NHRF.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

# Department of Hawaiian Home Lands

## Hawaiian Home Lands Trust Grant

### Assurance of Acknowledgment of Support

**Instructions:** Insert organization's name in the blank. Form must be signed by an authorized person of the organization.

\_\_\_\_\_ hereby agrees that all publicity, publications, and other materials produced in connection with any project funded by grants from the Department of Hawaiian Home Lands (DHHL) will acknowledge the support of DHHL in a way appropriate to the medium.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

# Department of Hawaiian Home Lands

## Hawaiian Home Lands Trust Grant

### Assurance of Dedicated Matching Funds and In-Kind Services (Optional)

**Instructions:** Insert organization's name in the blank. Form must be signed by an authorized person of the organization.

\_\_\_\_\_ hereby affirms that any monies designated as matching funds and in-kind services under the terms of a Department of Hawaiian Home Lands' grant will be dedicated to and will under no circumstances be assigned for any other purposes or projects.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

## SAMPLE Required Board Resolution

All grant applications must include a statement by your board of directors that names the person who is authorized to sign documents and enter into contracts on behalf of your organization. The following is a sample of the language and format to use for this statement. This statement must be written on your organization's letterhead and signed by the secretary of your board. This statement cannot be signed by the same person who is being given the authorization to sign the documents on your organization's behalf.

**Print on Letterhead**  
(must include mailing address and telephone number)

Board Resolution No. \_\_\_\_\_

The Board of Directors of \_\_\_\_\_ (organization) resolved on \_\_\_\_\_ (board meeting date when this resolution was passed), at a duly held meeting of the Board, that \_\_\_\_\_ (name of person(s) being given authorization), who is \_\_\_\_\_ (Board position held by the person who is authorized to sign documents) is authorized to sign documents on behalf of \_\_\_\_\_ (organization);

And, be it resolved that the Board of Directors approves the submittal of this grant application to the Department of Hawaiian Home Lands Agriculture Peer-to-Peer Grant program.

This resolution is certified to be true by:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name

\_\_\_\_\_  
Board Secretary

**SAMPLE**  
**Certification Statement**

**Print on Letterhead**

(must include mailing address and telephone number)

\_\_\_\_\_ Date

c/o Department of Hawaiian Home Lands  
Agriculture Peer-to-Peer Grant Program (PLO)  
PO Box 1879  
Honolulu HI 96805

This letter serves as certification that our organization has and follows written policies and procedures pertaining to nepotism and conflict of interest. On an annual basis, our board reviews these policies and files a written disclosure of any real or perceived conflict of interest.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name

\_\_\_\_\_  
Title

## Grant Application Package Checklist

The following items must be included in your grant application package. These items should be assembled in the order they appear on this checklist. If you have additional materials you would like to submit, please add them at the end of your grant application package.

### Checklist for applicant

√	Item	Page number reference
	Application Cover Sheet – Form	Pages 5 & 10
	Proposal Request – Narrative you have written	Pages 6, 12-14
	Budget Information Sheet – Form	Pages 6, 15-16
	Budget Detail – Narrative and calculations you have written	Page 6
	Verification of match funds and in-kind donations, if applicable	Page 6
	Assurance of Services to native Hawaiians – Form	Pages 6 & 18
	Assurance of Acknowledgement of Support – Form	Pages 6 & 19
	Assurance of Dedicated Matching Funds and In-Kind Services – Form (if applicable)	Pages 6 & 20
	Articles of Incorporation, with DCCA certified stamp	
	Bylaws dated and signed by Board Secretary	
	Signed certification statement that your organization has written policies and procedures pertaining to nepotism and conflict of interest.	Pages 6 & 22
	IRS Letter of Determination of 501(c)(3) tax exemption	
	List of board members including position/title, term of office, contact information from applicant and fiscal sponsor, if applicable	
	Board Resolution approving submittal of this proposal and identifying the person(s) authorized to sign documents	Page 21
	Most recent financial statement, treasurer's report, or IRS Form 990	
	Hawaii Compliance Express Certificate of Vendor Compliance or individual certificates from Department of Taxation, Department of Labor, and Department of Commerce and Consumer Affairs	Page 3
	<b>Other materials</b>	
	Team and Partner commitment letters or description	Page 7 & 12
	General letters of support	Page 7
	Previous grant reports, workshop evaluation summaries, brochures, news articles, press releases, photos, etc.	Page 7

## Checklist for nonprofit partner or fiscal sponsor

√	Item	Page number reference
	Partner or Fiscal Sponsor signature on Application Cover Sheet – Form	Pages 5 & 10
	Partner or Fiscal sponsor contact sheet – Form	Pages 6 & 11
	Partner or Fiscal sponsor agreement and board resolution	Page 17
	Assurance of Services to native Hawaiians – Form	Pages 6 & 18
	Assurance of Acknowledgement of Support – Form	Pages 6 & 19
	Assurance of Dedicated Matching Funds and In-Kind Services – Form	Pages 6 & 20
	Articles of Incorporation	
	Signed certification statement that your organization has written policies and procedures pertaining to nepotism and conflict of interest	Pages 6 & 22
	IRS Letter of Determination of 501(c)(3) tax exemption	
	List of board members including position/title, term of office, contact information from applicant and fiscal sponsor, if applicable	
	Board Resolution approving submittal of this proposal and identifying the person(s) authorized to sign documents	Page 21
	Most recent financial statement, treasurer's report, or IRS Form 990	
	Hawaii Compliance Express Certificate of Vendor Compliance or individual certificates from Department of Taxation, Department of Labor, and Department of Commerce and Consumer Affairs	Page 3



# **SAMPLES**

- 1) Articles of Incorporation with DCCA certified stamp
- 2) Bylaws dated and signed
- 3) "Describe your organization"

Include information about your board

- 4) List of Board members
- 5) Partner Commitment Letter
- 6) Fiscal Sponsorship
- 7) Vendor compliance certificates
- 8) Conflict of Interest



# Sample

05/14/201420176

05/14/201420176

## ARTICLES OF INCORPORATION

---

### HAWAIIAN HOME LANDS ASSOCIATION

(A Hawaii nonprofit corporation)



FILED 05/13/2014 01:15 PM  
Business Registration Division  
DEPT. OF COMMERCE AND  
CONSUMER AFFAIRS  
State of Hawaii



# Sample

SAMPLE Signature page for BY LAWS

## CERTIFICATION

I certify that I am an authorized officer of the Corporation and that the Board of Directors adopted these bylaws on \_\_\_\_\_, and the bylaws are currently effective.

Date: \_\_\_\_\_

\_\_\_\_\_  
Authorized Officer (signature and office held)

(04-30-14)

# **SAMPLE**

## **Describe your organization, include information about your board**

XYZ association has 9 active board members with a diverse range of experience and professional qualifications. Board member qualifications include engineering, construction, business, finance, government and grants administration. Several board members operate successful commercial agricultural businesses.

- Name1, board president, owner K & K Farms, retired state government contracts officer
- Name2, vice president, retired firefighter
- Name3, secretary/treasurer, bank manager, tax preparer
- Name4, director, health nonprofit executive director
- Name5, director, licensed engineer with \_\_\_\_\_ & Associates consulting engineering firm
- Name6, director, retired school principal, community leader, Hawaiian civic club
- Name7, director, business owner of NK Nursery Plants and Leis, active member with the Native Hawaiian Chamber of Commerce
- Name8, director, small business construction contractor
- Name9, director, marketing business owner

The experience and expertise on our board is critical in providing the necessary oversight and direction for our proposed project. The board assets and qualifications described above will support the success of this grant proposal.

# **SAMPLE**

## **XYZ Homestead association Board of Directors 2014 – 2015**

### **Term**

**Name1, President**

**2014 - 2017**

**Address**

**Phone/email**

**Occupation: Retired firefighter**

**Affiliations: xyz homestead association, abc civic club**

**Name2, Vice President**

**2014 - 2017**

**Address**

**Phone/email**

**Occupation: Retired school principal**

**Affiliations: HGEA, Native Hawaiian education council**

**Name3, Secretary/Treasurer**

**2012 - 2015**

**Address**

**Phone/email**

**Occupation: Retired, federal government**

**Affiliations: school volunteer for student activities**

**Name 4, director**

**2012 - 2015**

**Address**

**Phone/email**

**Occupation: Farmer**

**Affiliations: Farm Bureau, DHHL Agriculture Advisory Committee**

**Name 5, director**

**2014 - 2017**

**Address**

**Phone/email**

**Occupation: Business owner, K & K foods**

**Affiliations: Native Hawaiian Chamber of Commerce, Business League, St. Theresa Church**

# **SAMPLE**

## **Partner Commitment Letter**

XYZ homestead association

Address

City, state, zip

Aloha \_\_\_\_\_,

This is a letter of commitment for the Association's proposed project to the DHHL Agriculture Peer-to-Peer Pilot Grant Program. I am working with the Agriculture Educational Program at ABC community college on the island of \_\_\_\_\_. I have been working in the field of agriculture for over 20 years. I will donate 200 hours of my time at \$50 per hour, for a total donation of \$10,000.

At the invitation of the association, I am committed to assisting the association with the educational component of your proposed project. This includes preparing the curriculum and conducting workshops on a variety of topics necessary for basic agriculture knowledge, setting up field trips to local area farms, and conducting one-on-one assistance to lessees and their families. I will also assist with identifying guest speakers with specific knowledge and expertise that may benefit the lessees.

I have been involved with the association for the last 5 years and have participated in the planning of this proposed project. I am excited to have been invited to participate as a partner in this proposed project and to reach out to the agriculture lessees.

Please contact me at \_\_\_\_\_ for any questions.

Mahalo,

\_\_\_\_\_



## **About Fiscal Sponsorship**

(Excerpted from the Tides Foundation website: <http://www.tides.org/i-want-to/turn-my-vision-ideas-into-a-nonprofit-project/> and the National Council of Nonprofits website: <http://www.councilofnonprofits.org/resources/resources-topic/fundraising/fiscal-sponsors>)

Fiscal sponsorship is a cost-effective way to implement new programs, bring together groups to collaborate on an issue, and test new approaches to social change. Fiscal sponsorship is a common mechanism used in the nonprofit sector that enables individuals and organizations to start new programs without establishing a new, separate nonprofit organization. These fiscally sponsored projects get their charitable status from their fiscal sponsor.

### **1. What is a 501(c)(3) nonprofit organization?**

The term 501(c) refers to a subsection of the United States Internal Revenue Code that lists the types of nonprofit organizations exempt from certain federal taxes. Section 501(c)(3) is one of the tax law provisions granting exemption from the federal income tax to nonprofit organizations that exist for religious, charitable, scientific, literary, or educational purposes, among others. See the IRS's website for more information on the designation of charitable organizations.

### **2. What is fiscal sponsorship?**

Fiscal sponsorship is a practice that has evolved as an effective and efficient means of starting new charitable initiatives, delivering public services, and seeding social movements. Fiscal sponsors are nonprofits that enable the movement of resources from funders and donors to projects, activities, ideas, and organizations that share the fiscal sponsor's mission. Fiscal sponsorship provides a legal framework to our projects. Typically the sponsored organization seeks out a fiscal sponsor that has a similar or consistent mission. There are some charitable nonprofits that actually have as part of their mission to serve as fiscal sponsors -- they may even refer to themselves as "incubators" of other nonprofit programs.

### **3. What Does the Fiscal Sponsor Do?**

The role of the fiscal sponsor can include performing many different administrative functions on behalf of the sponsored group, including taking on the responsibility of receiving and administering charitable contributions *on behalf of* the sponsored organization. Since the donations are made directly to the fiscal sponsor, which then provides funds to the sponsored program, this arrangement enables donors to -- in essence -- make tax-deductible contributions to support the activities of the sponsored organization. In many sponsorships the fiscal sponsor charges an administrative fee for its services, usually a percentage of the budget of the sponsored organization or program. Although this arrangement appears to be a "run-around" of tax regulations that provide donors a deduction for their charitable gifts, in actuality the IRS has blessed the function of fiscal sponsors, as long as the fiscal sponsor retains the right to voluntarily determine how to use the funds that the donor contributes.

### **3. Why choose fiscal sponsorship?**

Establishing an independent 501(c)(3) is expensive—in fact, the process can cost upwards of \$100,000. Being fiscally sponsored is extremely cost effective and saving money is important, particularly for organizations that are just emerging, testing new approaches to difficult social problems, run entirely by volunteers, or working in issue areas where funding is scarce. In fact, in an environment where funding for all nonprofits is on the decline, it is important to emerging organizations not to compete with other organizations for limited funds. Fiscal sponsorship is an efficient, economic way to reduce the cost of running an organization and still maintain the integrity of the organization's purpose.

Fundamentally, fiscal sponsorship allows a program or organization that does not yet qualify as a recipient of deductible contributions to raise funds for its operations that will be tax-deductible to donors. (As background: Donors are not able to receive a deduction for a contribution to a nonprofit that is not recognized as tax-exempt. See IRS Publication 557. Additionally, the guidelines of most private foundations explicitly require grantees to be recognized as tax-exempt by the IRS. Consequently, groups that are not formally recognized by the IRS as tax-exempt may not be eligible for certain contributions.) Having a fiscal sponsor can benefit a group that is not tax-exempt by providing a pathway for it to receive funding.

Fiscal sponsorship can be used by newly formed charitable organizations that have the need to raise money right away, before they are recognized as tax-exempt by the IRS. Fiscal sponsorship might be chosen by a newly formed nonprofit that seeks to test-drive its ideas, or operate less formally than what is required of groups that make the commitment to apply for tax-exempt recognition from the IRS.

---

Some organizations remain in a fiscal sponsorship relationship for a long time, deciding that their mission can be achieved in that structure without the need to be recognized by the IRS as an independent tax-exempt entity.

Finally, some organizations - including those that are tax-exempt - find that utilizing a fiscal sponsor to outsource administrative responsibilities, whether back-office tasks, or those relating to fundraising and disbursement of funds, is the right business model for them.

### **How Does Fiscal Sponsorship Work for Fundraising?**

A newly formed nonprofit finds another nonprofit (one that is already tax-exempt and generally has a similar mission) that agrees to accept the administrative responsibility of receiving charitable gifts on behalf of the sponsored organization. The fiscal sponsor must first determine that serving as a fiscal sponsor is consistent with its mission (and does not jeopardize its own tax-exempt status). The sponsored organization arranges with the fiscal sponsor to receive grants or contributions on its behalf. This arrangement allows the sponsored organization to solicit contributions to support its programs, with the understanding that the donation will be made *to the fiscal sponsor*, not to the sponsored program/organization directly. Since the fiscal sponsor is tax-exempt, the donor's contribution will qualify as a deductible contribution.

Using a fiscal sponsor satisfies IRS requirements as long as the fiscal sponsor maintains the right to decide, at its own discretion, how it will use the contribution, and in fact uses it consistently with its own tax-exempt status. Generally there is no question but that the sponsor will grant the contribution (minus an administrative fee if one applies) to the sponsored organization - but it could decide to use the funds elsewhere. Maintaining such control over the donated funds is a requirement of a legitimate fiscal sponsor arrangement.

### **Practice Tips**

Fiscal sponsorships should be memorialized in a **written agreement** between the fiscal sponsor and the sponsored organization. The agreement should specify that the fiscal sponsor is responsible for all legal compliance relating to receiving, reporting, and acknowledging charitable donations, and also describe the administrative fee that the sponsored organization will provide to its fiscal sponsor.

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## Looking for a Fiscal Sponsor?

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- An Introduction to Fiscal Sponsorships authored by Pro Bono Partnership
- If your organization is considering becoming a fiscal sponsor, try searching the Fiscal Sponsor Directory. Willing to serve as a fiscal sponsor? Sign up through the Directory.
- Several organizations with experience serving as fiscal sponsors include: The Trust for Conservation Innovation (sponsors environmental projects); Fractured Atlas (sponsors artists and art organizations); Visions Made Viable (incubator for a wide variety of domestic and international projects and programs, many of them faith-based); Social and Environmental Entrepreneurs (sponsors programs focusing on social justice and ecological restoration).
- Tides offers a comprehensive fiscal sponsorship program for hundreds of projects around the world.

## Fiscal Sponsor Tips and Tools

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- Read about recommended best practices for fiscal sponsors developed by the National Network of Fiscal Sponsors.
- Read what should be included in a memorandum of understanding between a fiscal sponsor and the sponsored organization: *On Comprehensive Fiscal Sponsorship* by Joshua Sattely, Third Sector New England (2009) (see page 5).
- Read a respected text on fiscal sponsorship, *Fiscal Sponsorship: Six Ways to Do it Right*, by Greg Colvin, Esq. The book describes six models of sponsorship that have been approved and accepted by the IRS.
- A blog post by NonprofitLaw Blog author Gene Tagaki, Esq. offers helpful advice about what to avoid when engaging in fiscal sponsor relationships: *Fiscal Sponsorship – Six Ways to Do it Wrong*.
- Learn about the untapped potential of fiscal sponsorships as well as misconceptions in a report, *More than Money- Fiscal Sponsorship's Unrealized Potential*, BTW Consultants, (May 2007).
- Take advantage of the past experiences of fiscal sponsors described in the *Fiscal Sponsorship Field Scan*, a report based on the first-ever survey of fiscal sponsors conducted by the *Tides Foundation*, that describes the fiscal sponsorship practices of over 200 fiscal sponsor relationships (2006).

**Sample**

\_\_\_\_\_  
(Date)

c/o Hawaii Community Foundation  
827 Fort Street  
Honolulu, HI 96813-4317

Re:

Please be advised that the "Sponsoring Organization" named below, a 501(c)3 public charity, has agreed to act as "Fiscal Sponsor" for the "Sponsored Non-Profit" named above to facilitate that organization's activities and particularly its solicitation of support from \_\_\_\_\_ for the project referenced above.

We understand the requirements of a "Fiscal Sponsor," for purposes of applying for a grant from the \_\_\_\_\_ include:

1. The sponsored organization's project is compatible or consistent with our organization's mission or purpose.
2. We, as fiscal sponsor, have formally adopted the above referenced project. We have:
  - a. Reviewed the project
  - b. Passed a board resolution of the adoption of the project
  - c. Accepted responsibility to document the status and progress of the project
3. We, as fiscal sponsor, are responsible for monitoring and controlling the expenditure of grant funds in keeping with the purpose of the grant.
4. We, as fiscal sponsor, are responsible for complying with the terms of the grant.

Our Board of Directors has formally approved a resolution agreeing to be "Fiscal Sponsor" for the "Sponsored Non-Profit" organization, and has authorized the execution of this letter. A copy of that resolution, certified by our Board Secretary, is attached.

\_\_\_\_\_  
Name of "Sponsoring Organization"

By:

\_\_\_\_\_  
Board Chair of "Sponsoring Organization"

\_\_\_\_\_  
Executive Director of "Sponsoring Organization"

cc: Chair of "Sponsored Non-Profit"

(6)

# **SAMPLE**

## **Hawaii Compliance Express Certificate of Vendor Compliance (CVC)**



Sample

STATE OF HAWAII  
STATE PROCUREMENT OFFICE

**CERTIFICATE OF VENDOR COMPLIANCE**

This document presents the compliance status of the vendor identified below on the issue date with respect to certificates required from the Hawaii Department of Taxation (DOTAX), the Internal Revenue Service, the Hawaii Department of Labor and Industrial Relations (DLIR), and the Hawaii Department of Commerce and Consumer Affairs (DCCA).

Vendor Name: **Hawaiian Home Lands Association**

DBA/Trade  
Name:

Issue Date: **02/10/2014**

Status: **Compliant**

Hawaii Tax#: w/  
FEIN/SSN#: XX-XXX1526  
UI#: No record  
DCCA FILE#:

Status of Compliance for this Vendor on issue date:

Form	Department(s)	Status
A-6	Hawaii Department of Taxation	Compliant
	Internal Revenue Service	Compliant
COGS	Hawaii Department of Commerce & Consumer Affairs	Exempt
LIR27	Hawaii Department of Labor & Industrial Relations	Compliant

**Status Legend:**

Status	Description
Exempt	The entity is exempt from this requirement
Compliant	The entity is compliant with this requirement or the entity is in agreement with agency and actively working towards compliance
Pending	The entity is compliant with DLIR requirement
Submitted	The entity has applied for the certificate but it is awaiting approval
Not Compliant	The entity is not in compliance with the requirement and should contact the issuing agency for more information

# Sample

FORM A-6  
(REV. 2009)

STATE OF HAWAII — DEPARTMENT OF TAXATION  
**TAX CLEARANCE APPLICATION**  
PLEASE TYPE OR PRINT CLEARLY

**1. APPLICANT INFORMATION:** (PLEASE PRINT CLEARLY)

Applicant's Name \_\_\_\_\_

Address \_\_\_\_\_

City/State/Postal/Zip Code \_\_\_\_\_

DBA/Trade Name \_\_\_\_\_

**2. TAX IDENTIFICATION NUMBER:**

HAWAII TAX ID # W \_\_\_\_\_

FEDERAL EMPLOYER ID # \_\_\_\_\_  
(FEIN)

SOCIAL SECURITY # (SSN) \_\_\_\_\_

**3. APPLICANT IS A/VAN:** (MUST CHECK ONE BOX)

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> CORPORATION  | <input type="checkbox"/> S CORPORATION                 | <input checked="" type="checkbox"/> TAX EXEMPT ORGANIZATION    |
| <input type="checkbox"/> INDIVIDUAL   | <input type="checkbox"/> PARTNERSHIP                   | <input type="checkbox"/> ESTATE <input type="checkbox"/> TRUST |
| <input type="checkbox"/> LIMITED LIABILITY COMPANY  | <input type="checkbox"/> LIMITED LIABILITY PARTNERSHIP |  |
| <input type="checkbox"/> Single Member LLC disregarded as separate from owner; enter owner's FEIN/SSN _____ |  |  |
| <input type="checkbox"/> Subsidiary Corporation; enter parent corporation's name and FEIN _____             |  |  |

**THE TAX CLEARANCE IS REQUIRED FOR:** (MUST CHECK AT LEAST ONE BOX)

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> CITY, COUNTY, OR STATE GOVERNMENT CONTRACT IN HAWAII * | <input type="checkbox"/> LIQUOR LICENSE *       |
| <input type="checkbox"/> REAL ESTATE LICENSE   | <input type="checkbox"/> CONTRACTOR LICENSE     |
| <input type="checkbox"/> FINANCIAL CLOSING   | <input type="checkbox"/> BULK SALES**           |
| <input type="checkbox"/> HAWAII STATE RESIDENCY  | <input type="checkbox"/> PROGRESS PAYMENT       |
| <input type="checkbox"/> SUBCONTRACT   | <input type="checkbox"/> PERSONAL               |
|  | <input type="checkbox"/> FEDERAL CONTRACT       |
|  | <input type="checkbox"/> LOAN                   |
|  | <input checked="" type="checkbox"/> OTHER _____ |

\* IRS APPROVAL STAMP IS ONLY REQUIRED FOR PURPOSES INDICATED BY AN ASTERISK.

\*\* ATTACH FORM G-8A, REPORT OF BULK SALE OR TRANSFER

**5. NO. OF CERTIFIED COPIES REQUESTED:**

3

**6. SIGNATURE:**

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

TELEPHONE \_\_\_\_\_

FAX \_\_\_\_\_

PRINT NAME \_\_\_\_\_

PRINT TITLE: Corporate Officer, General Partner or Member, Individual (Sole Proprietor), Trustee, Executor

**FOR OFFICE USE ONLY**

BUSINESS START DATE IN HAWAII

IF APPLICABLE

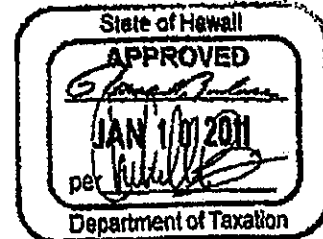
9 / 15 / 1997

HAWAII RETURNS FILED

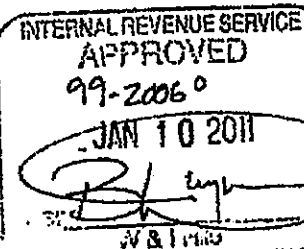
IF APPLICABLE

20 \_\_\_\_\_ 20 \_\_\_\_\_ 20 \_\_\_\_\_

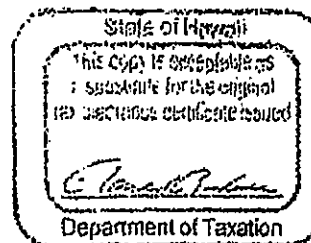
STATE APPROVAL STAMP  
(Not valid unless stamped)



**\*IRS APPROVAL STAMP**



**CERTIFIED COPY STAMP**



**POWER OF ATTORNEY.** If submitted by someone other than a Corporate Officer, General Partner or Member, Individual (Sole Proprietor), Trustee, or Executor, a power of attorney (State of Hawaii, Department of Taxation, Form N-848) must be submitted with this application. If a Tax Clearance is required from the Internal Revenue Service, IRS Form 5821, or IRS Form 2848 is also required. Applications submitted without proper authorization will be sent to the address of record with the taxing authority. UNSIGNED APPLICATIONS WILL NOT BE PROCESSED.

**EASE TYPE OR PRINT CLEARLY — THE FRONT PAGE OF THIS APPLICATION BECOMES THE CERTIFICATE UPON APPROVAL.**

**SEE PAGE 2 ON REVERSE & SEPARATE INSTRUCTIONS.** Failure to provide required information on page 2 of this application or as required in the separate instructions to this application will result in a denial of the Tax Clearance request.

# Sample

P.1/1

P.2/2



STATE OF HAWAII  
DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS  
FORM LIR#27 APPLICATION FOR  
CERTIFICATE OF COMPLIANCE WITH SECTION 3-122-112, HAR

**1. APPLICANT INFORMATION: (Please Type or Print Clearly)**

Applicant's Business Name <i>On</i>			
Address <i>15-</i>	City	State	Zip Code
DBA/Trade Name			

\* Business name must be the same name submitted with the applicant's bid or proposal.

**2. IDENTIFICATION NUMBER(S): (Complete Applicable ID Numbers)**

State Department of Labor Unemployment Insurance ID# <i>212</i>	Federal Employer ID# (FEIN)
--	-----------------------------

**3. EMPLOYERS: If you have a State Department of Labor Unemployment Insurance ID#, please skip question 3 only:**

Do you currently have employee(s) working in the State of Hawaii? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Do you plan to have employee(s) work in the State of Hawaii? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
--	---

SEE INSTRUCTION SHEET FOR FILING INSTRUCTIONS. Failure to provide above required information on this application will result in a denial of this request. Unsigned applications will not be processed.

**4. SIGNATURE:**

Signature <i>[Signature]</i>	Date <i>12/24/11</i>	Telephone No. <i>609</i>	Fax No.
Print Name <i>On</i>		T-HINT: I am Corporate Officer, General Partner or member, Individual (Sole Proprietor), Trustee, Executor	
Email Address			

NOTE: If this application is stamped "PENDING", another LIR#27 must be submitted when employees are performing services in the State to determine compliance with the State of Hawaii labor laws. Approval constitutes a certificate of compliance with labor laws based on information available to the Department as of the approval date.

**THIS APPLICATION BECOMES THE CERTIFICATE UPON APPROVAL**

Facsimiles and copies of this approval form are proof of compliance.

FOR OFFICE USE ONLY		Department of Labor and Industrial Relations Approval Stamp	
DLIR Log No. <i>1111</i>	Date Received <i>12/24/11</i>	NOT APPLICABLE <i>[Signature]</i> Administrator	<i>mc</i> Initials
			<i>2/24/11</i> Date

This certificate is valid for SIX (6) MONTHS from the approval date.

**Sample**



**Department of Commerce and Consumer Affairs**

**CERTIFICATE OF GOOD STANDING**

I, the undersigned Interim Director of Commerce and Consumer Affairs of the State of Hawaii, do hereby certify that

**ASSOCIATION**

was incorporated under the laws of Hawaii on ( )  
that it is an existing nonprofit corporation; and that,  
as far as the records of this Department reveal, has complied  
with all of the provisions of the Hawaii Nonprofit Corporations  
Act, regulating domestic nonprofit corporations.

IN WITNESS WHEREOF, I have hereunto set  
my hand and affixed the seal of the  
Department of Commerce and Consumer  
Affairs, at Honolulu, Hawaii.

Dated: February 21, 2011

Interim Director of Commerce and Consumer Affairs



# **SAMPLE**

**Information re: Conflict of Interest**

# LEGAL RESPONSIBILITIES: DUTY OF LOYALTY\*

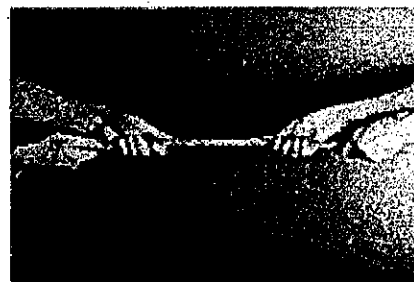
\*With information excerpted from the BoardSource website, [www.boardsource.org](http://www.boardsource.org)

## WHAT IS CONFLICT OF INTEREST?

Key to the tax-exempt status given to nonprofits is that an **individual** board (or staff) member may not personally benefit from a nonprofit organization to the disadvantage of the organization.



- **CONFLICT OF INTEREST** occurs when, in conducting the business of the nonprofit organization, the personal or professional interests of board members prevail over the best interests of the nonprofit. In order to meet the standards of the **Duty of Loyalty**, board members should not gain financial benefit or have unfair access to services based on their relationships within the nonprofit organization.
- **THE APPEARANCE OF CONFLICT OF INTEREST.** Some conflicts may not be conflicts of interest in the legal sense, but board members should consider how their community perceives the issue of conflict of interest and try to avoid the *appearance* of impropriety. Nonprofit organizations depend on the trust of donors, volunteers, and other supporters, so even the appearance or suggestion of conflict can damage an organization's reputation and ability to carry out its mission.



## EXAMPLES OF POSSIBLE CONFLICT OF INTEREST (LEGAL OR APPEARANCE OF):

- Organization policy requires competitive bidding on purchases of more than \$1,000, but a printing firm owned by a board member's spouse receives the \$25,000 contract for the annual report and no other bids are solicited.
- A board member serves on two boards in the community and finds himself in the position of approaching the same donors on behalf of both organizations.
- A board member performs professional services for an organization.
- A board member proposes that a relative or friend be considered for a staff position.
- A board member uses nonprofit resources – including personnel, equipment and supplies – for other than nonprofit-sponsored activities, programs and purposes.

# LEGAL RESPONSIBILITIES:

## DUTY OF LOYALTY (continued)

### HOW DO YOU AVOID CONFLICT OF INTEREST OR THE APPEARANCE OF CONFLICT OF INTEREST?

Nonprofit board members are likely to be affiliated with many organizations in their communities, both on a professional and a personal basis, so it is not unusual for actual or potential conflict of interest to arise. A possible conflict *does not* preclude the nonprofit from doing business with a related party. Such transactions are perfectly acceptable if they benefit the organization and if the board makes the decisions in an objective and informed manner. However, boards should take steps to ensure that there is a system of checks and balances in place to circumvent actual or potential conflict of interest:

- **CONFLICT OF INTEREST POLICY** – Create a carefully written conflict of interest policy, based on the needs and circumstances of an organization, which describes matters that might lead to conflict and how those situations will be handled. It is recommended that all board members sign a **Conflict of Interest** and disclosure document annually, in which they make known their connections with groups doing business with the organization or identify potential conflicts.
- **DISCLOSURE** – At a minimum, the affected board member should disclose or “put on the table” the potential conflict so that board members voting on a decision are aware that another member’s interests are being affected.
- **ABSTENTION FROM DISCUSSION AND VOTING** – The affected board member should not participate in any discussion about or vote on any decisions made about such transactions. It is advisable for the affected board member to leave the room while any discussion occurs so that there is no perception that he or she has influenced the decision (positively or negatively).
- **OTHER SAFEGUARDS** – Procedures, such as competitive bids, that insure the organization is receiving fair value in the transaction, should also be established.

